SECURITY, PREPAREDNESS AND RESPONSE STRATEGIC GOAL

"Balance transportation security requirements with the safety, mobility and economic needs of the Nation and be prepared to respond to emergencies that affect the viability of the transportation sector"

OUTCOMES
1. Rapid, effective decision-making in emergencies affecting the transportation sector

2. Expert transportation sector intelligence

3. Preparedness for emergencies affecting the transportation sector

4. Effective response to emergencies affecting the transportation sector

STRATEGIES
We have defined our *Security, Preparedness and Response* Strategic Goal to address challenges that seem greater than any we've faced in our history – challenges from terrorism and challenges from nature.

We address *Security* against the background of 9/11. Modern weapons give terrorists a tremendous amount of leverage in wreaking damage and havoc throughout the transportation network. In the London attack on July 7, 2005, just a handful of individuals disrupted one of the world's great metropolitan transit systems. Our security strategies recognize that the transportation network must remain a vital link for mobilizing matériel and armed forces for military contingencies and that we must continue to work closely with the Department of Homeland Security. Together, we will assess and reduce the vulnerabilities of transportation services and infrastructure to terrorist or criminal attacks while ensuring the mobility needs of the Nation for personal travel and commerce.

We address *Preparedness* and *Response* against the background of one of the most catastrophic natural disasters in American history – Hurricane Katrina. Indeed, Katrina was one of three storms, Katrina, Rita, and Wilma that, taken together, posed the single greatest challenge to our preparedness and response capabilities in the history of our Nation.

Transportation was critical in the Katrina evacuation considering the fact that more people – well over a million – had to move out of the area rapidly. More people migrated

after Katrina than in any other previous mass migration in American history except for the Dust Bowl, which took place over a period of decades and not over a period of a few days.

Against this backdrop, our *Security, Preparedness and Response* strategies address the challenges we anticipate in coming years. We recognize that the first element of facing a challenge is to prepare for it, and preparing involves many different activities – policy making, reviewing and validating intelligence, planning, building capabilities and capacity, training, and exercising scenarios. Our strategies put those elements in place to prepare us to deal with both expected and unexpected emergencies.

Our emphasis on planning is well founded: experience tells us that if you don't have a proper plan, improvisation is not going to provide the answer that you need when you're in the middle of the catastrophe. From the same standpoint, our strategies integrate our authorities and capabilities across the Department. A mode by mode, or stovepipe response would produce far less than a totality of effort, which the public rightfully expects from the Federal government.

Having a good plan, however, is no guarantee that evacuations, for example, will be carried out smoothly, particularly mass evacuations that involve many different agencies at all levels of government. Our strategies call for joint exercises in which plans are tested against different scenarios to determine if cooperating agencies can become accustomed to working together and can assess how their plans address various contingencies.

Our strategies recognize four phases of emergency management: preparedness, mitigation, response and recovery and they address these phases in a comprehensive, coordinated, multi-modal way. They also address cyber-security, a critical part of our preparedness and response.

RESOURCES
The human resources, programs, capital assets, information technology and other resources described in DOT's Annual Performance Budgets are needed to achieve our outcomes for Security, Preparedness and Response and to execute the strategies presented below. The schedule for executing our Security, Preparedness and Response strategies extends from fiscal 2006 through fiscal 2011.

SECURITY STRATEGIES
1. Work with the Operating Administrations to communicate and validate timely, relevant, expert intelligence analysis that focuses preparedness efforts, supports operational response, supports international programs, and informs technical requests from the Intelligence and Law Enforcement Communities. (Supports outcome 2)

2. Work with the Operating Administrations to develop a security policy framework that will ensure preparedness, mitigate the consequences of transportation sector emergencies, and support the Department's mission. (Supports outcomes 1 and 2)

3. Fulfill DOT commitments to international partners and agreements, such as the Security and Prosperity Partnership for North America, and the North Atlantic Treaty Organization (NATO). (Supports outcomes 1 and 3)

4. Maintain DOT responsibility for oversight of national security initiatives affecting the maritime transportation system within MARAD. (Supports outcome 3)

5. Maintain government-owned sealift assets and provide assured access to commercial sealift and related commercial intermodal assets for use in defense mobilizations and national emergencies. (Supports outcome 3)

6. Develop and implement actions to work aggressively on closing identified security program gaps and emergency operation gaps in the highway system.

7. Work with the states, the Defense Department (Surface Deployment and Distribution Command), state military offices, and applicable military units to identify and address the highway infrastructure and operational requirements that support National defense and deployment needs. (Supports outcome 3)

8. Represent government and industry stakeholders within the civil community in the identification of U.S. Space-Based Position, Navigation, and Timing (PNT) needs and requirements, the promotion, coordination and leveraging of PNT capabilities across the civil community, and in the development of backup position and timing capabilities that can support critical infrastructure applications within the U.S. (Supports all outcomes)

9. Develop, promote and enforce performance-based national and international hazardous materials security standards. (Supports outcome 3)

CYBER SECURITY STRATEGIES

10. Make information technology (IT) a strategic enabler for the Department to provide critical capabilities for secure, efficient storage and transfer of information. (Supports outcome 3)

11. Evolve and mature the DOT Information Assurance (IA) Program to comply fully with the Federal Information Security Management Act (FISMA). (Supports outcome 3)

12. Develop total DOT cyber-situational awareness, enabling informed recovery, monitoring, and orderly quarantine. (Supports outcome 3)

13. Begin a phased integration of logical access controls into DOT processes through DOT Common Identity Standards in support of Homeland Security Presidential Directive (HSPD)-12. (Supports outcome 3)

14. Integrate effective IT security programs with critical business functions and systems to protect the confidentiality, integrity and availability of mission critical information. (Supports all outcomes)

PREPAREDNESS STRATEGIES

15. Work with the Office of the Secretary and Operating Administrations to:

    a. Develop multi-modal metrics to measure progress against each of the four new outcomes under this strategic goal by October 1, 2008. (Supports all outcomes)

    b. Establish and maintain emergency operations staffing, special teams and capabilities to respond effectively to incidents and fulfill our commitments under Homeland and National Security Presidential Directives and the National Response Plan. (Supports all outcomes)

    c. Provide complete, consolidated and accurate information about the impacts of incidents on the transportation system, for distribution to stakeholders and other government agencies. (Supports all outcomes)

    d. Assure continuity of operations, support continuity of government, and maintain emergency operations surge staffing and response capabilities to respond effectively to incidents and fulfill our commitments under Homeland and National Security Presidential Directives and the National Response Plan. (Supports all outcomes)

16. Examine hazmat transportation security measures using risk-based analyses to determine whether additional requirements are necessary and whether there are opportunities to dial back our regulatory posture wherever possible. (Supports outcomes 3 and 4)

17. Conduct hazmat field inspections, research, partnerships, and education through a coordinated strategy that ensures the security of the commercial motor vehicle industry. (Supports outcomes 3 and 4)

18. Develop and maintain plans, procedures, training and exercises that prepare the Department to respond to incidents whether security related or natural disasters. (Supports outcome 4)

19. Conduct and support research to reduce the vulnerability of surface transportation systems and to improve their ability to prepare for and recover from attacks, natural disasters, and emergencies. (Supports outcomes 2, 3 and 4)

20. Conduct and support research to develop technologies and procedures to secure hazardous materials shipments and to assess the risks of hazmat events. (Supports outcomes 3 and 4)

21. Provide transit security training for transportation professionals, continuously updating the training to reflect advances in the state-of-the-art and state-of-the-practice and to meet changing training needs.

RESPONSE STRATEGIES

22. Provide transportation assistance during disasters to other Federal agencies, states and local governments under the National Response Plan to reduce the loss of life, suffering and property damage. (Supports outcome 4)

23. Implement the public transit emergency management program in coordination with other DOT elements and other Federal agencies to ensure responsiveness to emergency transportation needs. (Supports outcomes 2 and 4)

24. Reduce death and disability by improving post-incident and post-crash care through enhanced emergency medical and 9-1-1 systems. (Supports outcome 4)

25. Sponsor programs to ensure that local emergency responders have timely access to hazardous materials information carried by all modes. (Supports outcome 4)

26. Determine what types of research and development could be conducted to improve on emergency response best practices used to protect the public and the communities in which we live and work. (Supports outcome 4)

27. Mitigate the consequences of hazardous materials accidents through local emergency response organizations, training, and tools to help responders react effectively. (Supports outcome 4)

PERFORMANCE MEASURES

Table 5 depicts the relationship between our Security, Preparedness and Response outcomes and the milestones and performance measures that will measure our progress toward that goal.

TABLE 5. SECURITY, PREPAREDNESS AND RESPONSE OUTCOMES, MILESTONES AND PERFORMANCE MEASURES

OUTCOMES	PERFORMANCE MEASURES
1. Rapid, effective decision-making in emergencies affecting the viability of the transportation sector 2. Expert transportation sector intelligence 3. Preparedness for response to emergencies affecting the transportation sector 4. Effective response to emergencies affecting the transportation sector	Target: DOT will develop quantitative performance measures for <u>each</u> of the four outcomes by October 1, 2008. DOT has set milestones for developing these measures as follows: 1. Develop multi-modal performance measures for each of the four outcomes by September 30, 2007 2. Conduct a trial performance period to field test and calibrate the performance measures between October 1, 2007 and September 30, 2008 3. Implement final performance measures for each of the four outcomes October 1, 2008 Hazmat Emergency Response Measures - Number of Emergency Response Guidebooks distributed - Number of first responders trained - Number of emergency response plans completed - Number of hazmat employees trained Defense Mobilization Measures - Percentage of DoD required shipping capacity complete with crews available with mobilization timelines. Target: through 2011, maintain the timely availability of DoD required shipping capacity at 94%. - Percentage of DoD designated commercial ports available for military use within DoD established readiness timelines. Target: through 2011, maintain the timely availability of DOD

	required commercial strategic port facilities at 93%.